



IN THE
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): James O. Schreckengast et al

Confirmation No.: 7508

Application No.: 10/078971

Examiner: HOLMES, Michael B

Filing Date: Feb 19, 2002

Group Art Unit: 2121

Title: Investment Analysis Tool And Service For Making Investment Decisions

Mail Stop Amendment
Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- () under 37 CFR 1.97(b), or
(Within three months of filing national application; or date of entry of national application; or before mailing date of first office action on the merits; whichever occurs last)
- (X) under 37 CFR 1.97 (c) together with either a:
() Statement under 37 CFR 1.97(e), or
(X) a \$180.00 fee under 37 CFR 1.17(p), or
(After the CFR 1.97 (b) time period, but before final action or notice of allowance, whichever occurs first)
- () under 37 CFR 1.97 (d) together with a:
() Statement under 37 CFR 1.97(e)(1) or (2), and
() a \$180.00 fee set forth in 37 CFR 1.17(p).
(Filed after final action, a notice of allowance, on or before payment of the issue fee)

Please charge to Deposit Account 08-2025 the sum of \$180.00. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account 08-2025 pursuant to 37 CFR 1.25.

(X) Applicant(s) submit herewith Form PTO 1449 - Information Disclosure Statement together with any required copies of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

() A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individuals(s) designated in 37 CFR 1.56 (c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

It is requested that the information disclosed herein be made of record in this application.

(X) I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Alexandria, VA 22313-1450. Date of Deposit: Oct 17, 2005

OR

() I hereby certify that this paper is being transmitted to the Patent and Trademark Office facsimile number _____ on _____ Number of pages: _____

Typed Name: Eileen A. Lehmann

Signature: Eileen A. Lehmann

Respectfully submitted,

James O. Schreckengast et al

By Eileen Lehmann

Eileen Lehmann

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Date: Oct 17, 2005

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Application No.: 10/078,971
Title: Investment Analysis Tool And Service For Making Investment Decisions
Applicant(s): James O. Schreckengast et al
Filing Date: Feb 19, 2002
Examiner: Michael B. Holmes
Art Unit: 2121
Atty Docket. No. 10014432-1

**LIST OF REFERENCES (2) ACCOMPANYING
INFORMATION DISCLOSURE STATEMENT**

Dear Sir:

Here are the citations of the two references accompanying the information disclosure statement submitted herewith:

- (1) C. Skaaning, F.V. Jensen, U Kjaerulff, P. Pelletier, L. Rostrup-Jensen, and L. Parker, "Printing System Diagnosis: A Bayesian Network Application," *Proceedings of the 9th International Workshop on Principles of Diagnosis (DX-98)*, Sea Crest Resort, Cape Cod, MA, USA, May, 1998, pp. 259-265.
- (2) Kenneth C. Latino, "Failure Modes & Effects Analysis "A Modified Approach," National Petroleum Refineries Association (NPRA) Maintenance Conference, May, 1996 [retrieved from the Internet September 1, 2005].

Date: Respectfully Submitted on Behalf of Applicants
James O. Schreckengast et al

Eileen Lehmann 10/17/05

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